APPENDIX B

LIST OF FEDERAL IMPLEMENTATION CONVENTIONS

This appendix presents a list of the Federal implementation conventions available to date. The National Institute of Standards and Technology (NIST) publication number, where available, has also been provided in parenthesis after the name of each transaction set.

SET NUMBER	TRANSACTION SET NAME	ANSI X12 VERSION
810	Invoice, including commercial and progress pay invoices (NIST Special Publications 881-10 and 881-xx)	3040, 3050
820	Payment Order/Remittance Advice (NIST Special Publication 881-11)	3040
824	Application Advice (NIST Special Publication 881-15)	3040, 3050
832	Price/Sales Catalog (NIST Special Publication 881-16)	3050
836	Contract Award (NIST Special Publication 881-9)	3040, 3050
838	Trading Partner Profile, including vendor registration and confirmation	3040
840	Request For Quotation (NIST Special Publications 881-8 and 881-18)	3040, 3050
843	Response to Request for Quotation (NIST Special Publication 881-7)	3040, 3050
850	Purchase Order/Award Instrument (NIST Special Publication 881-3)	3040, 3050
855	Purchase Order Acknowledgment (NIST Special Publications 881-6 and 881-12)	3040, 3050
860	Modifications to Award Instrument (NIST Special Publication 881-4)	3050
864	Text Message (NIST Special Publications 881-14 and 881-19)	3040, 3050
865	Purchase Order Change, Acknowledgment - Seller Initiated (NIST Special Publication 881-5)	3050
997	Functional Acknowledgment (NIST Special Publications 881-13 and 881-17)	3040, 3050

Federal implementation conventions may be obtained in the following ways:

Download from the World Wide Web site, http://snad.ncsl.nist.gov/dartg/edi/fededi-info.html#sec-1994ic, as Postscript, SEF, PDF, or ASCII files

Order by calling the NIST Public Inquiries Desk at (301) 975-3058, and providing them with the special publication number. The Inquiries Desk will provide information on how to order the publication from the Government Printing Office (GPO).

APPENDIX C

FMS CONTACT INFORMATION

This appendix provides addresses and phone numbers for FMS personnel who should be contacted for assistance with EDI implementation.

- Austin Regional Financial Center
  1619 E. Woodward Street
  Austin, TX 78741

  CAS Manager: (512) 342-7200
  EDI Manager: (512) 342-7212

- Birmingham Regional Financial Center
  190 Vulcan Road
  Birmingham, A 35201-2451

  CAS Manager: (205) 290-7234

- Chicago Regional Financial Center
  536 S. Clark Street
  Chicago, IL 60605

  CAS Manager: (312) 353-2364

- Kansas City Regional Financial Center
  4241 NE 34th Street
  Kansas City, MO 64117

  CAS Manager: (816) 414-2100

- Philadelphia Regional Financial Center
  13000 Townsend Road
  Philadelphia, PA 19154

  CAS Manager: (215) 516-8000

- San Francisco Regional Financial Center
  390 Main Street
  San Francisco, CA 94106

  CAS Manager: (415) 744-7433

APPENDIX D

FINANCIAL MANAGEMENT SERVICE NETWORK STANDARDS DOCUMENT

D R A F T

FINANCIAL MANAGEMENT SERVICE NETWORK STANDARDS DOCUMENT

FOR

EXTERNAL NETWORK CONNECTIONS

May 10, 1996

Mr. Wally Fung
Director, Network Management Division

Table of Contents

Financial Management Service Network (FMSnet)

Introduction

To provide a modern integrated financial management system and to support its mission in providing a Government-wide Financial Management Infrastructure, FMS is consolidating its computing operations into three Regional Operation Centers (ROC) linked by a state of the art communications network. The communications network, FMSnet, is designed to be a highly reliable, available, and secure multi-purpose network in support of the evolving requirements of FMS and its customers. The Regional Financial Centers (RFC) are linked to the consolidated centers through four hubs. The hubs are located at Austin, Texas, Hyattsville, Maryland, and Philadelphia, Pennsylvania, and Kansas City, Kansas. (see figure 1)

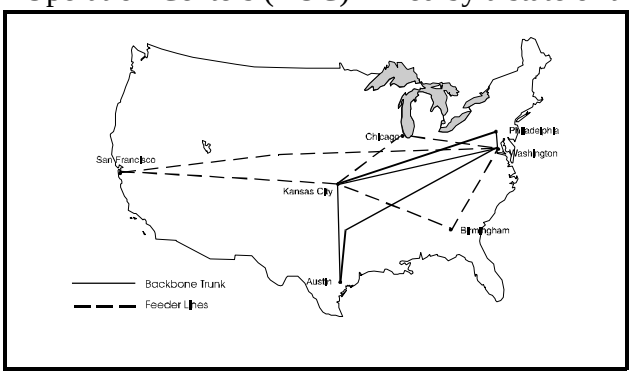

Figure 20

The hub sites will be connected to all of the other FMS sites. It is through these hub sites that information from the Federal Agencies, using the network, must pass in order to be directed to the appropriate FMS sites for processing (see figure 2). To support the requirement for high reliability, the hub sites are the most appropriate locations for these connections to occur.

Consequently, FMS is currently implementing a strategy requiring that a customer's network be connected with FMS's network via the Austin, Hyattsville, Philadelphia or Kansas City hub sites. Certain customers, who have large volumes of electronic file transfers with FMS, may want to connect with more than one site to maintain a higher state of reliability than with only one single physical connection into the network. The hub sites will have the most sophisticated telecommunications equipment within FMS and are best suited for directing the incoming data transmissions to its proper destination.

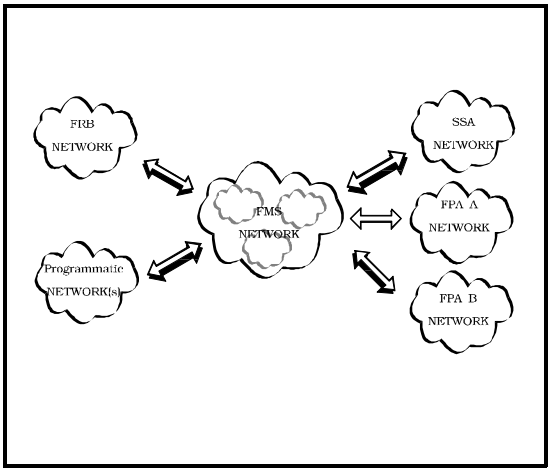

Figure 21

Purpose

The purpose of this document is to provide FMS customers with sufficient technical and operational information to support the physical as well as logical network- to-network implementation. It explains the business nature of FMS and the telecommunications architecture that supports and produces governmental financial data. This document contains the business as well as the network key players who will assist in finding solutions that will meet customer needs.

Once the link(s) to the FMSnet are established, an agency will be capable of electronically transmitting financial information. Both payments related as well as other program related data such as GOALS can be sent to the appropriate FMS and FMS contractor sites instantaneously, any time of the day. Customers who are interested in using telecommunications technology to improve information exchange capability with FMS are encouraged to consider network connection with FMSnet via the four identified hubs.

General

FMSnet SNA Architecture

We currently have three VTAMs serving as GWSSCPs (Gateway System Service Control Points) for our SNA network, located at Hyattsville, Austin, and Philadelphia. Our primary GWSSCP is FMSCDM06, secondary is FMSCDM63, and tertiary is FMSCDM85. Our preferred method for SNA connectivity with customer agencies is to utilize IBM's SNA Network Interconnect (SNI) back-to-back null network. Currently, FMS operates with VTAM 3.4.2 soon to go to VTAM 4.2 and NCP 5.4 soon to go to NCP 7.

The mainframes are located at Hyattsville, Austin, and Philadelphia are IBM 3090-600E mainframes with the MVS XA/ESA operating systems. The remainder of FMSnet connects to our Regional Financial Centers (RFCs) located in Birmingham, Chicago, Kansas City, and San Francisco. These RFCs all run the VSE operating System.

The FMSnet has three T1 SNA links into the Federal Reserve Banks (FRB); Philadelphia FRB, Richmond FRB, and Dallas FRB. These links exists for payment functions, payment related applications, digital check image retrieval process, interactive sessions, check MICR updates. The file transfer used for these applications is predominately Bulk Data, a FRB proprietary product.

FMS plans to offer value added services to support financial related businesses such as cross networking access for agency grants and Thrift Savings Plan (TSP) updates. These services along with more will be added in the near future.

FMSnet TCP/IP Architecture

In addition to the SNA network connection environment, FMSnet MVS TCP/IP connectivity is also available. **The network support for TCP/IP is a router based architecture. To support external customer network connectivity, FMS employs Cisco routers at the three ROC sites. Agencies desiring TCP/IP connectivity from a MVS, Unix, or Windows NT environment may do so. The three ROC sites will provide the TCP/IP connectivity entry point. Because of the security potential with the Internet access, connections into routers would have to be dedicated links to support file transfers using Connect:Direct and XCOM (see file transfer utility below).**

Host to Host File Transfer Utility Considerations

For host to host connectivity, there are two file transfer utility/software products supported by FMSnet, Sterling Commerce's Connect:Direct™ (formally Systems Center's Network Data Mover) and Computer Associates' XCOM™ (formally Legent Corporation). We currently have the Connect:Direct™ product installed and fully functional under MVS at our Hyattsville, Austin, and Philadelphia Regional Operations Centers (ROC) MVS sites and under VSE at each of our RFCs. XCOM is installed and fully functional under MVS at our ROC sites only.

Connect:Direct™ has been chosen as a standard for a number of reasons including the functionalities it provides as well as our current customer installed base. Connect:Direct™ provides a number of advanced functionalities including: (1) parallel sessions and data compression, (2) direct file-to-file transfers, (3) session establishment and session retry, (4) execution based on time, date and priority criteria, (5) synchronized submission, (6) checkpoint/restart, and (7) requests initiated by applications and batch jobs. Connect:Direct™ is available for a variety of operating systems including MVS, VM, VSE, Tandem, AS/400, VMS, OS/2, MS-DOS, and Unix.

Similar to Connect:Direct™, XCOM™ provides value added file transfer capabilities: (1) file transfer function, (2) remote report printing, (3) unattended file transfers, (4) data compression, (5) checkpoint/restart capability, (6) the ability to provide audit trails, and (7) job submission for cross-platform communications between mainframes, midranges, and workstations from all major manufacturers. XCOM™ supports data transport between host systems and all other major systems including: MVS, VM, VSE, VAX/VMS, AS/400, Stratus, Tandem, SUN OS, RS/6000, HP 9000, SCO UNIX, OS/2 PC-DOS, Windows and other platforms. XCOM™ supports SNA services and TCP/IP on a DOS and Unix platform. Computer Associates plans for XCOM™ to operate on MVS TCP/IP by mid 1996.

Although Connect:Direct™ and XCOM™ are our products of choice due to their robust nature, audit and control capabilities, and ease of operation in support of hundreds of mission critical transfer of payment data, we can provide as a short term interim solution **not to exceed twelve months** file transfer via Network Job Entry (NJE). Since the RFCs are currently operating under VSE, VSE/POWER PNET is available to communicate with other IBM operating systems. It communicates with VM RSCS or MVS with JES2 or JES3. Establishment of network communication links is assumed present. The networking capabilities of NJE/PNET allow transfer of files and jobs to and from other systems. The transfer is completed via card images by the use of system software or application programs that breakdown/buildup disk and tape files. JCL is stored in procs on the VSE mainframe and submitted by the transmitting operating system to run on the receiving mainframe.

PC-to-Host File Transfer Utility Considerations

Personal Computer (PC) version of Connect:Direct™ and XCOM™ are available for use by those customers whose transaction volume is small. (See attached Supplemental Network Guidance and Specifications)

Link Connection Considerations

Due to the sensitive nature of payment data, only dedicated digital link connections are being supported. Currently, FMS supports dedicated host-to-host SNA connections with our

customers using 9.6 KBPS, 19.2 KBPS, or 56 KBPS circuits via serial data line interfaces. TCP/IP connections will also be via dedicated circuits using Connect:Direct™ or XCOM™.

Circuit size will depend upon the volume of data sent and received. In order to estimate the circuit size, the volume and frequency of data in kilobytes is necessary as well as the frequency of transmission.

The following information is provided to assist customer agencies in ordering circuits:

(a) Regional Operation Center (HROC) at Hyattsville

Address: Financial Management Service
3700 East West Highway
Hyattsville, MD 20782

Local Telephone Exchange: (301) 436-XXXX
(301) 344-XXXX

Point of Contact for Installation:

Mike Greenfield (202) 874-9475
Rick Lemon (202) 874-7898

(b) Austin Regional Operations Center

Address: Austin Regional Operations Center
1619 E. Woodward St.
Austin, TX 78741

Local Telephone Exchange: (512) 448-XXXX

Point of Contact for Installation:

Ron Smith (512) 482-7236
Frank McReynolds (512) 482-7236

(c) Philadelphia Regional Operations Center

Address: Philadelphia Regional Operations Center
13000 Townsend Road
Philadelphia, PA 19154

Local Telephone Exchange: (215) 516-XXXX

Point of Contact for Installation:

Paul Dickel	(215) 516-8085
Thomas Michalski	(215) 516-8060

(d) Kansas City Regional Financial Center Hub

Address: Kansas City Regional Financial Center
4241 NE 34TH Street
Kansas City, MO 64117-0840

Local Telephone Exchange: (816) 414-XXXX

Point of Contact for Installation:

John Grissett	(816) 414-2300
Ed Barlett	(816) 414-2300

Security: Data Encryption Standard (DES) Considerations

Due to the sensitivity of all the financial data crossing the FMSnet, data encryption devices are required for transfer of payments related information. Encryptors are Racal models. Customer agencies may utilize their own DES encryption devices if keying and management control is to be retained by the customer. Otherwise encryption devices will be provided and supported by FMS. **(See attached Supplemental Network Guidance and Specifications**)

DCE Connectivity Considerations

All equipment provided by the customers (i.e., CSUs/DSUs, DES devices) and auxiliary equipment must be 19" rack or chasis mountable. **To ensure network operations and reliability, FMS's DCE standard is Racal DCE equipment. The customer agency has the responsibility to purchase the DCE equipment (DSU) for both ends of the circuit. For speeds up to 38.8kps the DCE interface may be either RS232 or V.35. For speeds greater than 38.8kps, the DCE MUST be V.35. When ordering please plan for yearly maintenance coverage for the remote (agency's) DCE. FMS recommends that the customer agency acquire Racal "installation" for their (remote) DCE. (See attached Supplemental Network Guidance and Specifications)**

Network Systems Operations

Our network/systems command center is staffed 24 hours per day 7 days a week and operations staff are always available to assist with any network or systems related problem. For network operations please call (202) 874-8725 between the hours of 7am to 11pm and (816) 414-2350 from 11pm to 7am. For systems operations please call (202) 874-8317 or 8130. A shift supervisor is available during every shift. Maintenance windows are every other payroll Sunday for VTAM/NCP changes beginning at 8am and ending no later than 11pm.

The NCP GEN required to establish the customers logical interface to the FMS mainframes will be done the first non-Federal salary weekend of the month (i.e., May 12, 1996, June 9, 1996, etc.). Testing of the circuit and the selected protocol must be done prior to cut over to production. In addition, a security package will be forwarded separately to document the customers facility status .

FMS uses IBM's Netview version 2.4 for managing all resources in a SNA's domain. Communications Management Configuration (CMC) using a single VTAM within FMSnet will manage cross domain communications. Backup CMCs exist at the other ROC sites.

In order to maintain current agency information, FMS would like the names, business address, and telephone numbers of the customer's network manager, circuit contact, applications contact, and VTAM/NCP contact. Also, please provide the hours of operation for operations and maintenance times along with those telephone numbers. Attached is a Customer Technical Profile worksheet to assist you in the completion of this information.

Products and Service Support Contracts

FMS has several contracts available to support agencies with network support services or file transfer products. These contracts include file transfer product offerings from two vendors: (1) Sterling Commerce, and (2) Computer Associates; and support services for the installation, customization, and testing of either file transfer product.

Agencies that desire the Connect:Direct product should use contract number T-FMS-95-28. Agencies that desire the XCOM product should use contract number T-FMS-95-29. Service support is available through M-Cubed, Inc. M-Cubed is an FMS contractor performing systems and network assistance. The contract number for the service support contract is T-FMS-95-14. COTR for the three contracts is Mr. Ken Bilbo at (202) 874-7957. Mr. Bilbo will assist any client with there special networking requests.

Summary

FMS customers are encouraged to contact their business partners at FMS to discuss innovative use of the telecommunications network to improve overall operational efficiency. Additional technical information and assistance is available from Mr. Wally Fung, Director of the Network Management Division, Ms. Sue McConnell, Manager of Platform Engineering and Integration Branch, or Mr. Kenneth Bilbo, Customer Liaison.

Mr. Fung can be reached at (202) 874-8862 or via E-mail

x.400 mail:	N=Wally Fung/C=US/A=Telemail/P=GOV+FMS
Internet mail:	WALLY.FUNG@FMS.SPRINT.COM

Ms. McConnell can be reached at (202) 874-7734 or via E-mail

x.400 mail:	N=Sue McConnell/C=US/A=Telemail/P=GOV+FMS
Internet mail:	Sue.McConnell@FMS.SPRINT.COM

Mr. Kenneth Bilbo can be reached at (202) 874-7957 or via E-mail

x.400 mail:	N=Ken Bilbo/C=US/A=Telemail/P=GOV+FMS
Internet mail:	Ken.Bilbo@FMS.SPRINT.COM

Supplemental Network Interface Guidance and Specifications:

DOS PC Platform Guidance/Specifications

When ordering the PC version, the software must include LU0 (Netsoft) software. Please acquire maintenance when purchasing either software product. An SDLC board must be purchased when using the PC version. A straight through 25 pin RS-232 cable is necessary to connect the SDLC card to the DSU.

The vendor that supplies FMS with an Adaptcom SDLC adaptor card is Network Software Associates (NSA), 1916 Wilson Boulevard, Suite 300, Arlington, Virginia 22201, (703) 875-0444, approximate costs is $187. Any SNA SDLC card from any vendor should work. The driver should be included.

DES Encryption Guidance/Specifications

Customers need to provide the following interfaces for DES connectivity:

For 56 kps circuit - V.35 DTE interface (industry standard 34-pin male Winchester) and a standard V.35 DCE interface (industry standard 34-pin female Winchester).

For low speed circuits below 56 kps - a standard RS-232 DTE interface (DB25 male) and a standard RS-232 DCE interface (DB 25 female).

DSU Guidance/Specifications

FMS recommends Excaliber Mulitrate models from Racal Datacom, Inc. For dedicated digital circuits at the remote (agency) site and FMS site use the following models:

Remote (agency) Site
"Excaliber Multirate 232/V35 Standalone DAP"
Racal order # EXDAP232V35

Host (FMS) Site
For V.35 interface - " Excalibur Multirate Central Site V35 DAP, Model C2 chassis"
Racal order # EXDAPV35C2
or
For RS232 interface - " Excalibur Multirate Central Site 232 DAP, Model C2 chassis"
Racal order # EXDAP232C2

If installation is not purchased for the "remote" (standalone) DAPs, customers have the responsibility to set the internal RS232/V.35 settings for the appropriate interface. The factory default is set for V.35.

Racal Datacom's current GSA (#GS00K95AGS7140) prices are as follows:

Location	Order Number	Cost
Agency	EXDAP232V35	$ 865

	" Installation	$ 149
	" Maintenance	$ 10/month
FMS	EXDAPV35C2	$ 835
	EXDAP232C2	$ 803

All equipment comes with one year (factory return) warranty. The following Racal sales representative can assist you or direct you to a sales representative for your area:

Steve Forsyth 1-800-733-4939 / 703-318-7718
(Home/Office) 410-461-8409
OR
Chris Payne 703-318-7718
(Sales Assistant)

Address: Racal Datacom, Inc
1821 Michael Faraday Drive
Suite 301
Reston, VA 22090

APPENDIX E

POTENTIAL FOR EDI AND EFT USAGE IN THE GUARANTEED LOAN MANAGEMENT LIFECYCLE

This appendix lists the functions within the phases of the Guaranteed Loan Management Lifecycle in which EDI and EFT can be implemented to improve efficiency, cash management and risk management, and reduce processing costs. These functions are presented in the following exhibits:

Exhibit E-1, Potential for EDI and EFT Usage in the Lender Management Phase

Exhibit E-2, Potential for EDI and EFT Usage in the Loan Origination Phase

Exhibit E-3, Potential for EDI and EFT Usage in the Loan Servicing Phase

Exhibit E-4, Potential for EDI and EFT Usage in the Debt Collection Phase

Potential for EDI and EFT Usage in the Lender Management Phase

Process		Key Features With Potential for EDI and EFT Use
1. Certify Lenders		
1.1	Enter and Edit Lender Application	Receive lender statistics during the certification process, including net worth and financial strength, size, experience and expertise level, and verify that the lender is not currently delinquent on a government debt.
1.2	Process Lender Application Fee	Receive lender application fee and verify that it has been correctly calculated by the lender. Calculate and transmit any refunds due to overpayment of application fees.
1.3	Evaluate Lender Application	Receive and utilize cross-agency lender data to ensure lender is in good standing with other Federal agencies.
2. Recertify Lenders		
2.1	Identify Lenders for Recertification	Receive and utilize cross-agency lender data to ensure lender is in good standing with other Federal agencies.
2.2	Process Recertification Fee	Receive lender recertification fee and verify that it has been correctly calculated by the lender. Calculate and transmit any refunds due to overpayment of recertification fees.
3. Monitor Lenders		
3.1	Enter and Edit Lender Data	Receive updated lender data.
3.2	Process and Evaluate Lender Financial Data	Receive lender financial data on a quarterly basis. Receive lender financial data from external sources (e.g., Dun and Bradstreet) for use in the scoring of lender financial data.

Potential for EDI and EFT Usage in the Lender Management Phase

Process		Key Features With Potential for EDI and EFT Use
4. Conduct Lender Reviews		
4.1	Target Lenders for Review	Inform lenders of periodic on-site reviews.
4.2	Enter Review Results	Receive Corrective Action Data from the lender.
5. Conduct Quality Control Sampling Reviews		
5.1	Select Loans for Review	Generate and transmit Document Request requesting preferred lenders submit loan data (e.g., credit agency reports, verification of employment, appraisal) for a quality control review.
5.2	Determine Borrower Eligibility	Receive and edit loan data to determine whether the borrower meets the program's eligibility requirements (e.g., borrower income, loan purpose). Utilize cross-agency data to identify borrowers who have previously defaulted on Federal debt. Utilize cross-agency to identify borrowers with judgements outstanding for debt owed the United States.
6. Process Review Results		
6.1	Process Sanctions	Generate and transmit Sanction Notices informing lenders of the type of sanction and the reason it is being levied. Receive and verify amount of penalties from lenders found to be non-compliant with Federal Agency and program standards. Calculate and transmit any refunds due to overpayment of sanction fines.

Potential for EDI and EFT Usage in the Lender Management Phase

Process		Key Features With Potential for EDI and EFT Use
7. Support System Management Activities		
7.1	Update Cross-Agency Data Store	Update cross-agency lender data stores.

Potential For EDI and EFT Usage in the Loan Origination Phase

Process		Key Features With Potential for EDI and EFT Use
1. Process Loan Application		
1.1	Enter and Edit Loan Application Data	Receive of loan application data (e.g., borrower data, credit report data, appraisal data, employment and income verification data) from the lender.
2. Approve/Disapprove Loan Application		
2.1	Generate Decision Notice	Generate and transmit Decision Notices informing lenders of approval or disapproval of loan applications.
3. Process Loan Disbursement		
3.1	Receive Loan Disbursement Data	Receive loan disbursement data from lenders.
4. Process Guaranty		
4.1	Process Payment Of Up-front Guaranty Fee	Receive up-front guaranty fees and verify that it has been correcly calculated by lenders. Calculate and transmit any refunds due to overpayment of up-front guarantee fees.
4.2	Issue Loan Guaranty	Generate and transmit Guaranty Endorsements to lenders to confirm that the loan is guaranteed.
4.3	Cancel Guaranty Commitment	Generate and transmit Commitment Cancellation Notices to inform lenders that the guaranty commitment has been canceled and that any up-front guaranty fees will be refunded.

Potential For EDI and EFT Usage in the Loan Servicing Phase

Process		Key Features with Potential for EDI Use
1. Process Monthly Loan Status Updates		
1.1	Process Monthly Updates of Loan Status	Receive periodic loan status updates from lender, servicer, or guaranty agency.
1.2	Identify Missing Loan Status	Generate and transmit notices to lenders who have not submitted loan status updates.
2. Process Periodic Guaranty Fees		
2.1	Generate Bill for Periodic Fees	Generate and transmit bills for penalties assessed for late payment and periodic guaranty fee payments due from lenders.
2.2	Process Periodic Fee Payments	Receive periodic fee payments from lenders and verify that they have been calculated correctly by lenders. Calculate and transmit any refunds due to overpayment of periodic fee payments.
2.3	Assesses Penalties for Late Fee Payments	Generate and transmit notices to lenders with overdue fee payments.
3. Process Restructuring of Guaranteed Loans		
3.1	Enter and Edit Restructuring Request	Receive restructuring requests from lenders.

Potential For EDI and EFT Usage in the Loan Servicing Phase

Process		Key Features with Potential for EDI Use
4. Support Supplemental Servicing Activities		
4.1	Generate Supplemental Servicing Reports	Generate and transmit status inquiries to lenders on loans which have defaulted or become delinquent or have defaulted. Receive status updates from lenders on delinquent and defaulted loans.

Process		Key Features
1. Process Claim Proposal		
1.1	Enter and Edit Claim Proposal Data	Receive claim proposal data from lenders.
1.2	Process Claim Proposal Quarterly Updates	Receive quarterly progress reports from lenders. Generate and transmit notices to lenders on claim proposals for which quarterly progress reports have not been received.
2. Process Claim		
2.1	Enter and Edit Claim Application	Receive claim applications from lenders.
2.2	Process Authorized Claim for Payment	Calculate and transmit claim payments.

APPENDIX F

TRADING PARTNER SURVEY QUESTIONNAIRE AND SCORING GUIDE

This appendix presents a survey that may be modified and sent out to potential trading partners to collect information regarding their size, technical capabilities, and their willingness to participate in an EDI program. It also presents a suggested guide for scoring survey responses.

Sample Cover Letter

Dear **< *agency name* >** Trading Partner:

The **< *agency*** name> is planning to implement a new system for **< *application name* >**, using Electronic Data Interchange (EDI) technology. This new system will allow you to transfer your information electronically to **< *agency name* >**, making it easier, faster and more efficient for you! It will eliminate much of the time, labor costs, and unavoidable errors associated with manually entering information into the current system or transcribing information onto the old pre-printed forms.

The **< *agency name* >** conducted a study on the cost savings to its trading partners and found that on the average a company that holds ***xx*** loans will save ***$xx*** per year! A copy of the results of **< *agency name* >** study is attached for your information.

We are working with a number of vendors and service providers to design a user-friendly system that will be easy to implement and will make your processing as effortless as possible. To provide you with the technology necessary to implement this new system, **< *agency name* >** is planning to make arrangements for you to obtain ***special low cost EDI translation software* and *network services***! Of course, you may use your own software or network if you are already doing EDI. In addition, the following services will be available to all our trading partners:

- Education and training
- Technical assistance and Help Desk facilities

To get the new EDI system off the ground and to ensure that our approach meets your needs, we are asking for your help. Enclosed is a brief survey to help us determine your current communications capabilities and data processing procedures.. ***Please take a moment now to complete this short survey and return it to agency name > in the enclosed envelope by xx/xx/xx.*** Your response will allow us to deliver the EDI savings to you even faster.

Please feel free to call us with any questions. Refer to the enclosed sheet for the name and phone number of the staff person designated to assist you. Thank you for your help in this important effort to improve our services to you, and we look forward to working with you to bring EDI to your organization soon.

EDI TRADING PARTNER PROFILE

1. Company Name: _____

2. Company ID Number: _____

3. Address: _____
   _____
   _____ ____ _____

4. Contact Information
   Business Contact Name: _____
   Title: _____ Phone: _____
   MIS/Technical Contact Name: _____
   Title: _____ Phone: _____
   EDI Technical Contact Name: _____
   Title: _____ Phone: _____

5. How many transactions do you currently perform each month with ***<agency name>***?
   _____

6. Do you have a central reporting site for transactions performed with ***<agency name>***?
   Yes ____ No ____

   If yes, please provide the following information on the central reporting site:

   Name: _____
   Address: _____
   _____
   _____ ____ _____
   Contact name: _____

7. Do you have a Personal Computer (PC)?
   Yes _____ No _____

8. What kind of communication capability do you currently have?

Modem Yes _____ No _____

Third Party Network (VAN) Yes _____ No _____

If Yes, what network do you use? _____

9. Do you do the Data Processing/MIS for your company:
   Internally _____ Contract Out _____

   a) If you do your own Data Processing, do you use automated systems that were developed internally? Yes _____ No _____
      Or did you buy your software from a third party vendor? Yes ____ No ____
      If yes, who is the software developer? _____

   b) If you contract out, please provide the name, address, and phone number of your contractor:
      _____
      _____
      _____

10. Do you currently have an EDI translation software package that you are using to exchange EDI transactions with other trading partners?
    Yes _____ No _____

11. Would you be interested in exploring immediate EDI opportunities with ***<agency name>?***
    Yes _____ No _____

TRADING PARTNER SURVEY SCORING GUIDE

Presented below are scores for each question on the sample trading partner survey. The total score will indicate the trading partner's readiness to implement EDI.

A. General Information (This category is informational and not intended for scoring purposes)

Company Name - No score
Company ID Number - No score
Address - No score
Contact Information - No score

B. Transaction Volume (This category is informational and not intended for scoring purposes)

5. How many transactions do you currently perform each month with ***<agency name>***- No Score, but should be used to verify "Transaction Volume" that the trading partner has been placed in.

C. Centralized Reporting (This category is informational and not intended for scoring purposes)

6. Do you have a central reporting site - No score. This information may be used by the Outreach Team to determine the final number of trading partners, and who the appropriate contact persons are.

D. Technical Capability

7. Do you have a Personal Computer (PC)?
   Yes = 2
   No = 0

8. What kind of communication capability do you have?
   Modem:
   Yes = 4
   No = 0

   Third Party Network (VAN):
   Yes = 2
   No = 0

9. Do you do the Data Processing/MIS functions:

   "Internally" and uses software developed in-house, score = 2

"Internally" and uses third party software, score = 1
"Contract out", score = 3

NOTE: If the third party software developer or contractor is known to handle other agency trading partners, and has already developed EDI capabilities, the trading partner score for this question should be increased to 5.

10. Do you currently have an EDI translation software package that you are using to exchange EDI transactions with other trading partners?
    Yes = 5
    No = 0

E. Trading Partner's Willingness to Implement EDI

11. Would you be interested in exploring immediate EDI opportunities with ***<agency name>***?
    Yes = 2
    No = 0

APPENDIX H

CONDUCTING INTERVIEWS

This appendix presents additional information on conducting interviews for obtaining information on current processes.

1. Interview Guidelines

The following are a set of guidelines that should be used when conducting interviews.

1. Prepare questionnaires for the interviews. A sample questionnaire is presented a later section in this appendix.

2. The day before each interview, call the interviewee and confirm time and place of the meeting. Also, let the interviewee know how many people will be present at the interview.

3. Ensure that a minimum of two team members attend each interview. There should be a designated interviewer and recorder for each interview.

4. Take the following items to the interview:

   - ➢➢ Questionnaire
   - ➢➢ Business Issues Log
   - ➢➢ Input Output Record
   - ➢➢ Paper for taking notes

   A sample Business Issues Log and Input Output Record are presented at the end of this appendix.

5. During the interview, periodically check the questionnaire to ensure that all the listed questions have been asked. If the interviewee needs to provide the team with additional information, set a follow up date to receive the information, and record this date.

6. Concentrate on those parts of the process that involve interaction with external entities (e.g. receiving documents from vendors/transportation agencies, telephone calls, sending documents to vendors).

7. Ensure that the team has obtained samples of all documents, reports, and forms mentioned at the interview. If not, set a date to collect them from the interviewee.

8. At the end of the interview, let the interviewee know what the next steps will be and schedule a date for the observation session, if necessary. If there is no need for an observation session, let the interviewee know when they should expect to hear back from the team and what will be required from them at that point. Also, confirm any dates set for follow up on missing information and documents.

9. After the interview, type up interview notes immediately, and fill out the Business Issues Log and Input/Output Record.

10. Draw a rough sketch of the process map and write the accompanying narrative. The team may need to wait until the observation session has been conducted to do this.

11. Have map and narrative reviewed by the interviewer and the rest of the project team.

12. Finalize the map and narrative, and have it checked once more by the interviewee.

2. Sample Interview Questionnaire

Presented below are a set of questions, that can be tailored by the implementation team and used in interviews to obtain information on current processes.

1) Please describe the workflow for the functions you perform with regard to < function name > .

2) Are there any major problems associated with the current process? Also do you have any suggestions for improving the process?

3) Are there any formal or informal Operating Procedures for these functions? If yes, please provide a copy.

4) Are there any formal or informal materials that are used to train new employees in these functions? If yes, please provide a copy.

5) What automated systems, if any, support these functions? Also provide any information you have on the hardware platform(s) and the software for each of these systems.

6) Are there user manuals or training materials for the above automated systems? If yes, please provide a copy.

7) Please provide the interview team with information on volumes of transactions processed each month for each function. (e.g. the number of requisitions received for approval, the number of shipments received, the number of invoices received, etc.)

8) Are there any seasonal fluctuations in the volumes of transactions processed? (i.e. are there times during the day/month/year when the volume of transactions processed is unusually high or low)

9) Are you aware of any anticipated increase or decrease in the volume of transactions processed over the next five years? If yes, please provide the information to the interview team.

10) Please provide the interview team with samples of any reports you receive. For each report please provide the following information:
    - ➢➢ Who the report is received from
    - ➢➢ How often the report is received
    - ➢➢ How the report is sent to you

11) Please provide the interview team with samples of any reports you produce. For each report please provide the following information:
    - ➢➢ How often the report is produced
    - ➢➢ Who the report is sent to and how it is sent

12) Please provide the interview team with samples of any forms or documents you receive. For each form or document please provide the following information:
    - ➢➢ Who the form or document is received from
    - ➢➢ How often the form or document is received
    - ➢➢ How the form or document is sent to you

13) Please provide the interview team with samples of any forms or documents you produce. For each form or document please provide the following information:
    - ➢➢ How often the form or document is produced
    - ➢➢ Who the form or document is sent to and how it is sent

3. Sample Business Issues Log

Presented below is a sample Business Issues Log. The interview team should create blank versions of this form and fill it out with information on business issues that have been gathered during interviews.

Business Issue Title: Information on vendors is maintained manually

Brief Description: Each Purchasing Agent maintains vendor information in manual forms, including business cards, product literature, and price catalogs. This practice causes the following problems:

- ➢➢ The catalogs and price lists may not be the latest version.
- ➢➢ Three full size file cabinets are required to store the information.
- ➢➢ Vendor information is not shared by Purchasing Agents in any formal manner. This results in redundant information being stored and causes processing delays.

Suggested Solution: Create a central database to store vendor information. In addition, the agency and vendors should use the following EDI transaction sets to request and obtain updated information:

- ➢➢ 140, Product Registration
- ➢➢ 466, Rate Request
- ➢➢ 832, Price/Sales Catalog

Purchasing Agents and Contracting Officers should be able to electronically access and query the central vendor information database.

4. Sample Input Output Record

Presented below is a sample Input Output record. Interview teams should create blank versions of the input output record and fill them out with information on data exchanged between the agency and external entities.

Data Input/Output Name	Request for Quotation (RFQ)	
Brief Description	The RFQ is used to request price quotes from vendors.	
Originator	**Recipient**	**Method of Communication**
Agency Purchasing Agent	Vendor	Mail or Facsimile
Data Elements		
➢ Product/Item Number ➢ Product/Item Description ➢ Quantity Required ➢ Expected Delivery Date ➢ Buyer's Name and Address ➢ Contact Person, Phone number, Facsimile number ➢ Vendor's DUNS Number ➢ Vendor's Name and Address		

APPENDIX I

SAMPLE QUESTIONNAIRE FOR COST/BENEFIT ANALYSES

Presented below are some questions that are typically used to collect information on costs, cost savings, and benefits. These questions should be modified according to the specific agency and application for which the Cost/Benefit Analysis is being conducted.

1. What hardware platform(s) are you currently using to process transactions for <application name>? If you are using multiple hardware platforms, please explain how/when each one is utilized in the process.

2. Do your current hardware platform(s) have sufficient storage and processing capacity that could be used to run an EDI translation software package?

3. Are you currently using any EDI translation software? If yes, please list the systems and specify whether this software can be used for the <new application name>.

4. Do you currently have a Value-Added Network (VAN) contract for EDI communication? If yes, please list VAN name(s).

5. Can this VAN be used for the <new application name>? If yes, please provide a copy of the rate schedule for the VAN.

Repeat Questions 6 through 12 for each transaction or document that is to be converted to EDI or EFT.

6. How many <transaction or document name> were processed each month during the last fiscal year?

7. How many <list trading partners> did the agency exchange <transaction or document name> with?

8. List the data elements included in the <transaction or document name>.

9. How much time per year is currently spent in manually keying in or otherwise processing the data for the <transaction or document name>?

10. What are the labor costs (hourly rate or salary) for the above tasks?

11. How much time per year is currently spent in correcting data entry errors or resolving other problems associated with the above tasks?

12. What are the labor costs (hourly rate or salary) involved in correcting data entry errors or resolving problems?

13. How much time per year is currently spent handling documents (paper or electronic) sent or received from trading partners?

14. What are the labor costs (hourly rate or salary) involved in preparing and mailing documents?

15. What are the material costs (e.g., postage, paper forms, tapes, etc.) currently involved in receiving or sending data to trading partners?

16. How much time per year is currently spent in reconciliation tasks?

17. What are the labor costs (hourly rate or salary) involved in the reconciliation process?

18. What is the labor cost (hourly rate or salary) for IR system development and support staff?

19. What non-quantifiable benefits do you expect to realize from the implementation of EDI technology? (Please explain) This could include better quality information from trading partners, more timely information, etc.